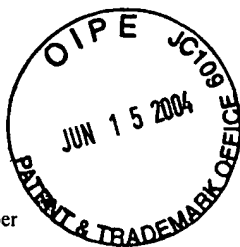


32692

Customer Number



Patent
Case No.: 58961US002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor: ROSENFLANZ, ANATOLY Z.
Application No.: 10/666098 Group Art Unit: 1755
Filed: September 18, 2003 Examiner: Elizabeth Bolden
Title: CERAMICS COMPRISING AL₂O₃, Y₂O₃, ZRO₂ AND/OR HFO₂, AND
NB₂O₅ AND/OR TA₂O₅ AND METHODS OF MAKING THE SAME

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on:	
June 9, 2004	<i>Lisa Hengen</i>
Date	Signed by: Lisa Hengen

Dear Sir:

Pursuant to 37 CFR §§ 1.56, 1.97, and 1.98, enclosed is a completed Form PTO-1449, citing references submitted for consideration by the Examiner. Copies of any cited foreign patents, non-patent literature, and unpublished US application documents are enclosed. Pursuant to the waiver in the Pre-OG Notice, dated July 11, 2003, copies of US patents and published US patent applications are no longer required and are not enclosed. It is respectfully requested that the Examiner initial and return the enclosed Form PTO-1449 to indicate that each reference has been considered.

It is believed that no fee is due; however, in the event a fee is required, please charge the fee to Deposit Account No. 13-3723.

Respectfully submitted,

Date

June 3, 2004

By:

Gregory D. Allen

Gregory D. Allen, Reg. No.: 35,048
Telephone No.: (651) 736-0641

Office of Intellectual Property Counsel
3M Innovative Properties Company
Facsimile No.: 651-736-3833

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Page 1 of 14

U.S. Patent Documents

Exam. Init.*	Cite No.	Document Number	Publication Date or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Doc. Number-(Kind Code if Known)			
	A1	US- 659,926	10/16/1900	Jacobs	
	A2	US- 906,339	12/08/1908	Tone	
	A3	US- 960,712	06/07/1910	Saunders	
	A4	US- 1,037,999	09/10/1912	Saunders	
	A5	US- 1,107,011	08/11/1914	Allen	
	A6	US- 1,149,064	08/03/1915	Kalmus	
	A7	US- 1,161,620	11/23/1915	Coulter	
	A8	US- 1,192,709	07/25/1916	Tone	
	A9	US- 1,240,490	09/18/1917	Saunders et al.	
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	A11	US- 1,257,356	02/26/1918	Hutchins	
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	A15	US- 1,268,532	06/04/1918	Allen	
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	A17	US- 1,314,061	08/26/1919	Harrison	
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	A19	US- 1,402,714	01/03/1922	Brockbank	
	A20	US- 1,448,586	03/13/1923	Allen	
	A21	US- 1,910,444	05/23/1933	Nicholson	
	A22	US- 2,000,857	05/07/1935	Masin	
	A23	US- 2,424,645	07/29/1947	Baumann, Jr. et al.	
	A24	US- 2,618,567	11/18/1952	Comstock, III	
	A25	US- 2,958,593	11/01/1960	Hoover et al.	
	A26	US- 2,961,296	11/22/1960	Fenerty	
	A27	US- 3,041,156	06/26/1962	Rowse et al.	
	A28	US- 3,141,747	07/21/1964	Marshall	

*Examiner:

Date Considered:

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Substitute for form 1449A/PTO (modified) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary) Page 2 of 14	Application Number	10/666098
	Filing Date	September 18, 2003
	First Named Inventor	Rosenflanz, Anatoly Z.
	Art Unit	1755
	Examiner Name	Elizabeth Bolden
	Attorney Case Number	58961US002

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		Doc. Number-(Kind Code if Known)			
	A29	US- 3,174,871	03/23/1965	Geffcken et al.	
	A30	US- 3,181,939	05/04/1965	Marshall et al.	
	A31	US- 3,216,794	11/09/1965	Roschuk	
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	A33	US- 3,498,769	03/03/1970	Coes, Jr.	
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	A36	US- 3,726,621	04/10/1973	Cichy	
	A37	US- 3,781,172	12/25/1973	Pett et al.	
	A38	US- 3,792,553	02/19/1974	Schleifer et al.	
	A39	US- 3,859,407	01/07/1975	Blanding et al.	
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	A44	US- 3,940,276	02/24/1976	Wilson	
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	A50	US- 4,070,796	01/31/1978	Scott	
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	A52	US- 4,111,668	09/05/1978	Walker et al.	
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	A55	US- 4,157,898	06/12/1979	Walker et al.	
	A56	US- 4,194,887	03/25/1980	Ueltz et al.	

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		Doc. Number-(Kind Code if Known)			
	A57	US- 4,238,213	12/09/1980	Pallo et al.	
	A58	US- 4,261,706	04/14/1981	Blanding et al.	
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	A72	US- 4,623,364	11/18/1986	Cottringer et al.	
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		Doc. Number-(Kind Code if Known)			
	A85	US- 4,800,685	01/31/1989	Haynes. Jr.	
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Substitute for form 1449A/PTO (modified) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary) Page 5 of 14	Application Number	10/666098
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	A113	US- 5,227,104	07/13/1993	Bauer	
	A114	US- 5,259,147	11/09/1993	Falz et al.	
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	A127	US- 5,427,595	06/27/1995	Pihl et al.	
	A128	US- 5,429,647	07/04/1995	Larmie	
	A129	US- 5,431,704	07/11/1995	Tamamaki et al.	
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	A149	US- 5,847,865	12/08/1998	Gopinath et al.	
	A150	US- 5,863,308	01/26/1999	Qi et al.	
	A151	US- 5,876,470	03/02/1999	Abrahamson	
	A152	US- 5,902,763	05/11/1999	Waku et al.	
	A153	US- 5,903,951	05/18/1999	Ionta et al.	
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	A160	US- 6,054,093	04/04/2000	Zheng	
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	A162	US- 6,254,981	07/03/2001	Castle	
	A163	US- 6,451,077	09/17/2002	Rosenflanz	
	A164	US- 6,454,822	09/24/2002	Rosenflanz	
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	A166	US- 6,469,825	10/22/2002	Digonnet et al.	
	A167	US- 6,482,758	11/19/2002	Weber et al.	
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		Doc. Number-(Kind Code if Known)			
	A169	US- 6,490,081 B1	12/03/2002	Feillens et al.	
	A170	US- 6,521,004	02/18/2003	Culler et al.	
	A171	US- 6,582,488	06/24/2003	Rosenflanz	
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	A181	US- Re 31,128	01/18/1983	Walker et al.	
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	A183	US- 02-0066233-A1	06/06/2002	McArdle et al.	
	A184	US- 02-0160694-A1	10/31/2002	Wood et al.	
	A185	US- 03-0110706-A1	06/19/2003	Rosenflanz	
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		Ctry. Code	Number-KindCode (If known)				
	B1	AT	333146	10/11/1976			X
	B2	DD	134 638 A	03/14/1979			X
	B3	DE	20 34 011	07/09/1970			X
	B4	EP	0 200 487	11/05/1986			
	B5	EP	0 291 029 A1	11/17/1988			
	B6	EP	0 291 029 B2	11/27/1996			
	B7	EP	0 408 771 A1	01/23/1991			
	B8	EP	0 469 271	02/05/1992			
	B9	EP	0 480 678 A1	04/15/1992			
	B10	EP	0 494 638	07/15/1992			
	B11	EP	0 495 536 A2	07/22/1992			
	B12	EP	0 579 281 A1	01/19/1994			
	B13	EP	0 601 453 A2	06/15/1994			X
	B14	EP	0 647 601 A1	04/12/1995			
	B15	EP	0 709 347	05/01/1996			
	B16	EP	0 722 919 A1	07/24/1996			
	B17	FR	1547 989	10/21/1968			X
	B18	FR	2 609 708	07/22/1988			X
	B19	GB	1 121 875	07/31/1968			
	B20	GB	1 260 933 A	01/19/1972			
	B21	JP	200045128A	02/15/2000			X Machine
	B22	JP	200045129A	02/15/2000			X Machine
	B23	JP	06 040765A	2/15/1994			X Machine
	B24	JP	59 22 7726A	12/21/1984			X Machine

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	First Named Inventor	Rosenflanz, Anatoly Z.
	Art Unit	1755
	Examiner Name	Elizabeth Bolden
	Attorney Case Number	58961US002

Foreign Patent Documents							
Exam. Init.*	Cite No.	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation (Check if yes)
		Ctry. Code	Number-KindCode (If known)				
	B25	JP	2001294480	10/23/2001			X Machine
	B26	Hei	11-189926	07/13/1999			X Machine
	B27	Hei	4-119941	04/21/1992			X
	B28	S	63-156024	06/29/1988			X
	B29	S	63-303821	12/28/1988			X
	B30	WO	94/14722	07/07/1994			
	B31	WO	97/16385	05/09/1997			
	B32	WO	97/25284	07/19/1997			
	B33	WO	00/34201	06/15/2000			X
	B34	WO	01/16047 A2	03/08/2001			
	B35	WO	01/23321 A1	04/05/2001			
	B36	WO	01/23323 A1	04/05/2001			
	B37	WO	01/27046 A1	04/19/2001			
	B38	WO	01/56946 A	08/09/2001			
	B39	WO	01/56947 A	08/09/2001			
	B40	WO	01/56949 A	08/09/2001			
	B41	WO	01/56950 A	08/09/2001			
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	B43	SU	1455569	10/04/1996			X

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	C1	Aguilar, E.A., "Processing and crystallization of rapidly solidified Al ₂ O ₃ -Y ₂ O ₃ fibres", British Ceramic Transactions, 2000, Vol. 99, No. 6, pp. 256-259.
	C2	Brewer, Luke N. et al., "Interface modification for increased fracture toughness in reaction-formed yttrium aluminum garnet/alumina eutectic composites," 1999, Vol. 14, No. 10, pp. 3907-3912.
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	C5	"China: Oversupply Puts Rare Earths Projects On Hold", Industrial Minerals, August, 1997, 1 page.
	C6	"China's Rare Earth Export Quota Set at 45,000 Tons", Dow Jones Interactive Internet Printout on 6/20/01 for web address "http://ptg.djnr.com/ccroot/asp/publib/story.asp"; Asia Pulse, 1/9/01, 1 page.
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	C9	Coutures et al., "PRODUCTION AND STUDIES OF ALUMINA BASED REFRACTORY GLASS," <u>Mat. Res. Bull.</u> , Vol. 10, No. 6, 1975, pp 539-546.
	C10	Dialog © file 319: Chem Bus NewsBase © 2001 Royal Soc Chemistry. Abstract for "China: Oversupply Puts Rare Earths Projects On Hold", Industrial Minerals n 359, p. 10.
	C11	"ELEMENTS: China to Impose Quotas on Rare Earth Exports", Dow Jones Interactive Internet Printout on 6/20/01 for web address "http://ptg.djnr.com/ccroot/asp/publib/story.asp"; Chemical Business NewsBase, 2/4/99, 1 page.
	C12	Figs. 311, 346, 350, 354-56, 373, and 716, <u>Phase Diagrams For Ceramists</u> , The American Ceramic Society, 1964, pp. 122, 136, 138, 140, 144, 248.
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	C23	"In Asia", Dow Jones Interactive Internet Printout on 6/20/01 for web address "http://ptg.djnr.com/ccroot/asp/publib/story.asp"; <u>Engineering & Mining Journal</u> , 2/28/00, 4 pages.
	C24	Isobe, T. et al., "Microstructure and Thermal Stability of $\text{Al}_2\text{O}_3/\text{Y}_3\text{Al}_5\text{O}_{12}$ (YAG) Eutectic Composite Prepared by an Arc Discharge Method", <u>J. Ceram. Soc. Jap.</u> , 109, [1], 2001, pp. 66-70, Abstract in English.
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	C29	Krokhin et al., "Synthesis of Y-Al Garnet", <u>Glass and Ceramics</u> , Vol. 55, Nos. 5-6, 1998, pp. 151-152.
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	C37	McMillan, P.W., <u>Glass-Ceramics</u> , Academic Press, Inc., 2 nd Edition (1979)

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	C69	U.S. Patent Application entitled "Fused Al ₂ O ₃ -Y ₂ O ₃ -ZrO ₂ Eutectic Abrasive Particles, Abrasive Articles, And Methods Of Making And Using The Same", filed July 19, 2000, Rosenflanz having U.S. Serial No. 09/618,876 (Attorney Docket No. 55763US002).
	C70	U.S. Patent Application entitled, "Method of Making Ceramic Articles", filed August 2, 2002, Rosenflanz having U.S. Serial No. 10/211,481 (Attorney Docket No. 56938US004).
	C71	U.S. Patent Application entitled "Methods of Making Ceramic Particles," filed February 5, 2003, Rosenflanz, having a U.S. Serial No. 10/358772 (Attorney Docket No. 58257US002)
	C72	U.S. Patent Application entitled "Methods of Making Ceramics", filed February 5, 2003, Anderson et al., having a U.S. Serial No. 10/358765 (Attorney Docket No. 58258US002)
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	C76	U.S. Patent Application entitled "Methods of Making Al ₂ O ₃ -SiO ₂ Ceramics", filed February 5, 2003, Celikkaya et al. having a U.S. Serial No. 10/358,708 (Attorney Docket No. 58353US002)
	C77	U.S. Application entitled "Use of Glasses Containing Rare Earth Oxide, Alumina, and Zirconia And Dopant In Optical Waveguides", filed April 28, 2003, having U.S. Serial No. 10/425,039 (Attorney Docket No. 58435US002)
	C78	U.S. Application entitled " Methods of Making Ceramic Particles", filed September 5, 2003, having U.S. Serial No. 10/655729 (Attorney Docket No. 58790US002)
	C79	U.S. Application entitled "Methods of Making Ceramics Comprising Al ₂ O ₃ , REO, ZrO ₂ and/or HfO ₂ and Nb ₂ O ₅ and/or Ta ₂ O ₅ ", filed September 18, 2003, having U.S. Serial No. 10/666615 (Attorney Docket No. 58354US002)
	C80	U.S. Application entitled "Ceramics Comprising Al ₂ O ₃ , REO, ZrO ₂ and/or HfO ₂ , and Nb ₂ O ₅ and/or Ta ₂ O ₅ , and Methods of Making The Same", filed September 18, 2003, having U.S. Serial No. 10/666212 (Attorney Docket No. 58807US002)
	C81	U.S. Application entitled "Agglomerate Abrasive Grain and a Method of Making the Same", filed February 11, 2004, having U.S. Serial No. 10/776156 (Attorney Docket No. 55304US016)

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